

43

Applicant or Patentee: Phillip Dan Cook and Muthiah Manoharan

Serial or Patent No.: 08/117,363 Attorney's Docket No.: ISIS-1169

Date Filed or Issued: September 3, 1993

For: Amine-Derivatized Nucleosides and Oligonucleosides

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c) - SMALL BUSINESS CONCERN

I hereby declare that I am:

- () the owner of the small business concern identified below:
- (XX) an official empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Isis Pharmaceuticals
ADDRESS OF CONCERN: 2280 Faraday Avenue, Carlsbad, CA 92008

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **Amine-Derivatized Nucleosides and Oligonucleosides** by inventor(s) **Phillip Dan Cook and Muthiah Manoharan** described in

() specification filed herewith.

(XX) application serial no. 08/117,363, filed September 3, 1993.

() patent no. _____, issued _____.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

***NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

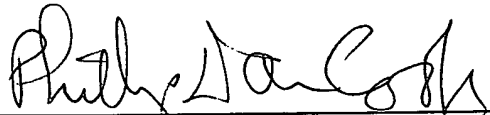
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE OF PERSON SIGNING
ADDRESS OF PERSON SIGNING

Phillip Dan Cook
Vice President, Chemistry
Isis Pharmaceuticals
2280 Faraday Avenue
Carlsbad, CA 92008



SIGNATURE

9/23/93

DATE



DOCKET NO.: ISIS-1169

PATENT

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name; and

I verily believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **Amine-Derivatized Nucleosides and Oligonucleosides** the specification of which:

() is attached hereto.

(XX) was filed on **September 3, 1993** as Application Serial No. **08/117,363** and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to be material to the patentability of this application in accordance with 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of any application on which priority is claimed:

Country	Number	Date Filed	Priority Claimed
<u>PCT</u>	<u>PCT/US92/09196</u>	<u>10/23/92</u>	<u>Y</u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to be material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status (patented, pending)
<u>782,374</u>	<u>10/24/91</u>	<u>pending</u>
<u>463,358</u>	<u>1/11/90</u>	<u>abandoned</u>
<u>566,977</u>	<u>8/13/90</u>	<u>abandoned</u>

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: **John W. Caldwell** and **Joseph Lucci**, Registration Nos. 28,937 and 33,307 of the firm of **WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS**, One Liberty Place - 46th Floor, Philadelphia, Pennsylvania 19103, and **Herb Boswell** and **Laurel Bernstein**, Registration Nos. 27,311 and P37,280, of **ISIS Pharmaceuticals**, 2280 Faraday Avenue, Carlsbad, California 92008.

Address all telephone calls and correspondence to:

Joseph Lucci
WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS
One Liberty Place - 46th Floor
Philadelphia, PA 19103
Telephone No. 215-568-3100.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the



DOCKET NO.: ISIS-1169

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Is re patent application of:

Philip Cook and Muthian Manoharan

Serial No.: 08/117,363

Group No.: N/A.

Filed: September 3, 1993

Examiner: Not Yet Assigned.

For: **Amine-Derivatized Nucleosides and
Oligonucleosides**

Commissioner of Patents & Trademarks
Washington, DC 20231

Sir:

ASSOCIATE POWER OF ATTORNEY

The undersigned, **Joseph Lucci**, Registration No. 33,307,
of the firm WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS, One
Liberty Place - 46th Floor, Philadelphia, Pennsylvania 19103,
Attorney and/or Agent for Applicant(s), hereby appoints the
following:

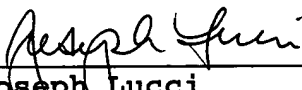
Robert B. Washburn	Registration No. 16,574
Richard E. Kurtz	Registration No. 19,263
John J. Mackiewicz	Registration No. 19,709
Norman L. Norris	Registration No. 24,196
Albert W. Preston, Jr.	Registration No. 25,366
Dale M. Heist	Registration No. 28,425
Philip S. Johnson	Registration No. 27,200
John W. Caldwell	Registration No. 28,937
Gary H. Levin	Registration No. 28,734
Steven J. Rocci	Registration No. 30,489
Dianne B. Elderkin	Registration No. 28,598
Francis A. Paintin	Registration No. 19,386
John P. Donohue, Jr.	Registration No. 29,916
Henrik D. Parker	Registration No. 31,863
Suzanne E. Miller	Registration No. 32,279
Albert T. Keyack	Registration No. 32,906
Lynn B. Morreale	Registration No. 32,842
Michael P. Dunnam	Registration No. 32,611
Michael D. Stein	Registration No. 34,734
Albert J. Marcellino	Registration No. 34,664
David R. Bailey	Registration No. 35,057

36
Rebecca R. Gaumont
John L. Knoble
Michele K. Herman
Kevin M. Flannery
Ken I. Yoshida
Mark DeLuca
Lori Y. Beardell
John W. Matthews
Frederick A. Tecce
Raymond M. Speer
Doreen Yatko Trujillo

Registration No. 35,152
Registration No. 32,387
Registration No. 35,893
Registration No. 35,871
Registration No. 37,009
Registration No. 33,229
Registration No. 34,293
Registration No. 35,604
Registration No. 32,065
Registration No. 26,810
Registration No. 35,719

his associates with full power to prosecute the above-identified application and to transact all business in the Patent Office connected therewith and requests that correspondence continue to be directed to the firm of WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS at the above address.

Date: November 3, 1993



Joseph Lucci
Attorney and/or Agent of Record
Registration No. 33,307

WOODCOCK WASHBURN KURTZ
MACKIEWICZ & NORRIS
One Liberty Place - 46th Floor
Philadelphia, PA 19103
(215) 568-3100

United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1	Full Name Phillip Dan Cook	Inventor's Signature <i>Phillip Dan Cook</i>	Date 9/23/93
	Residence Carlsbad, California CA		Citizenship U.S.A.
	Post Office Address 7340 Bolero Street Carlsbad, California 92009		
2	Full Name Muthiah Manoharan	Inventor's Signature <i>Muthiah Manoharan</i>	Date 9/23/93
	Residence Carlsbad, California CA		Citizenship India
	Post Office Address 7634 Reposado Drive Carlsbad, California 92009		
3	Full Name	Inventor's Signature	Date
	Residence		Citizenship
	Post Office Address		
4	Full Name	Inventor's Signature	Date
	Residence		Citizenship
	Post Office Address		
5	Full Name	Inventor's Signature	Date
	Residence		Citizenship
	Post Office Address		

See
substitute
declaration
filed
1/12/98
paper
#29,
adding
an
inventor
-S/A
3/31/98